



**Rules of  
Elected Officials  
Division 30—Secretary of State  
Chapter 59—Registration and Operations of  
Commodity Broker-Dealers and  
Sales Representatives**

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**Title—15 ELECTED OFFICIALS**

**Division 30—Secretary of State  
Chapter 59—Registration  
and Operations of Commodity  
Broker-Dealers and Sales  
Representatives**

**15 CSR 30-59.010 Definitions**

*PURPOSE: The commissioner of securities under the direction of the secretary of state administers the Missouri Model Commodities Code, sections 409.800—409.836, RSMo. The commissioner may make rules, forms and orders as are necessary to carry out the provisions of the Code and may define terms, whether or not used in the Code, insofar as the definitions are not inconsistent with the Code. This rule defines certain terms used in the administration of the Code and in the rules, forms and orders.*

*Editor's Note: The secretary of state has determined that the publication of this rule in its entirety would be unduly cumbersome or expensive. The entire text of the material referenced has been filed with the secretary of state. This material may be found at the Office of the Secretary of State or at the headquarters of the agency and is available to any interested person at a cost established by state law.*

(1) When the terms listed in subsections (1)(A)—(Q) are used in sections 409.800—409.863, RSMo, this chapter of rules, the forms and the orders of the commissioner issued under sections 409.800—409.863, RSMo (1986) and this chapter of rules, the following meanings shall apply (unless the context requires otherwise), to the extent that they are not inconsistent with definitions provided in sections 409.800—409.863, RSMo:

(A) Affiliate means a person who, directly or indirectly, through one (1) or more intermediaries, controls, or is controlled by, or is under common control with, another person;

(B) Applicant means the person executing an application or an entity on whose behalf an application is submitted;

(C) Application means the form prescribed or approved by the commissioner for filing in connection with registration as a broker-dealer or sales representative and any information, document, report or memorandum filed as a part of that form or is incorporated by reference and any other documentation, information, report or memorandum required to be filed in connection with registration;

(D) Broker-dealer means commodity broker-dealer as defined in subsection (1)(H) for the purposes of this chapter only;

(E) Certified means, when used in connection with financial statements, certified by an independent certified public accountant in accordance with generally accepted accounting practices;

(F) CFTC means the Commodity Futures Trading Commission;

(G) Code means sections 409.800—409.863, RSMo (Senate Committee Substitute for House Bill Nos. 409 and 532 enacted into law by the 83rd General Assembly), otherwise known as the *Missouri Model Commodities Code*;

(H) Commodity broker-dealer means any one (1) person engaged in the business of effecting transactions in commodities under any commodity contract or under any commodity option for the account of other or for his/her own account. Commodity broker-dealer does not include a sales representative (but an individual who is a commodity broker-dealer may also be a sales representative);

(I) Commodity sales representative means any individual (including an individual who is a broker-dealer, a partner, officer or director of a broker-dealer or a person occupying a similar status or performing similar functions) who represents a broker-dealer in effecting or attempting to effect purchases or sales of commodities;

(J) Division means the Division of Securities, Office of Secretary of State for Missouri or the Office of the Commissioner of Securities of Missouri;

(K) NASD means the National Association of Securities Dealers, Inc.;

(L) NFA means the National Futures Association;

(M) For offer or offer to sell, see *Kreis v. Mates Investment Fund, Inc.*, 473 F.2d 1208 (1973);

(N) Parent means an affiliate controlling another person;

(O) Predecessor means a person, a major portion of whose business, assets or control has been acquired by another;

(P) Registrant means an applicant for whom a registration has become effective; and

(Q) Sales representative means commodity sales representative as defined in subsection (1)(I) for the purposes of this chapter only.

*Auth: section 409.836, RSMo (1986).  
Emergency rule filed Oct. 2, 1985, effective Oct. 12, 1985, expired Feb. 9, 1986.  
Original rule filed Aug. 22, 1986, effective Jan. 30, 1987.*

*\*Original authority 1985.*

**15 CSR 30-59.020 General Instructions**

*PURPOSE: This rule covers general instructions applicable to persons applying for registration as broker-dealers or sales representatives.*

(1) A broker-dealer or agent may be registered or renewed as such under the *Missouri Model Commodities Code* (the Code), if the commissioner finds that the applicant is qualified, has sufficient training, knowledge and experience in the commodities business, is of good repute and has otherwise fully satisfied the requirements of the Code and this chapter. In determining which activities require registration under the Code, see sections 409.803 and 409.840, RSMo.

(2) The applicant, if an individual, shall have attained the age of eighteen (18) years.

(3) A foreign corporation shall furnish a copy of the certificate of authority to transact business in Missouri or an opinion of counsel stating no such authority is required (section 351.570, RSMo).

(4) Any applicant who will engage in or transact business in Missouri under a name shall furnish evidence of registration of fictitious name (section 417.200, RSMo).

(5) A broker-dealer shall have and maintain at least one (1) sales representative.

(6) Any application for registration as a sales representative shall not be registered as representing more than one (1) broker-dealer at any one (1) time, except as follows:

(A) Where control and management of the broker-dealers or issuers are essentially identical; or

(B) Where there is no conflict of interests and where prior to the dual registration, both broker-dealers have filed, written statements acknowledging the proposed dual agency and affirming that there will be no conflict. The statements must display an original signature of the appropriate signatory of the principal.

*Auth: section 409.836, RSMo (1986).  
This rule was previously filed as 15 CSR 30-60.010. Emergency rule filed Oct. 2, 1985, effective Oct. 12, 1985, expired Feb. 9, 1986. Original rule filed Aug. 22, 1986, effective Jan. 30, 1987.*

*\*Original authority 1985.*



Form U-4

# Uniform Application for Securities Industry Registration or Transfer

## IMPORTANT

PLEASE USE THE GREEN LABEL FOR CRD MAILINGS  
TO EXPEDITE PROCESSING.

NASAA/NASD CENTRAL  
REGISTRATION DEPOSITORY  
P.O. BOX 9401  
GAITHERSBURG, MD 20898-9401

11/91



**HOW TO USE FORM U-4**

**How the Form Works**

An individual applies for registration for the first time by filing a complete Form U-4 with the Central Registration Depository (CRD). After an individual has filed a complete Form U-4 with the CRD, a change of employment or association from one broker-dealer to another is effected by filing only pages 1, 3 and 4 of this form. Since the data contained on page 2 is primarily of an historical nature, it need not be resubmitted with each successive filing.

To keep the CRD current, page 1 (item 12) requires the applicants to provide their current address and update their broker-dealer employment history to report the termination from their previous firm(s). This information will update the individual's record and lessen the probability of application deficiencies. Both initially and with each subsequent change of employment or association to another broker-dealer, the filing must be accompanied by a fingerprint card unless exempt from the fingerprint requirement pursuant to SEC Rule 17f-2.

Additionally, if the applicant has other changes to employment history (Item 19) or other affiliations (Item 20) which are not covered in item 12, the new information should be submitted on page 2 along with the balance of the filing.

Information contained on Form U-4 must be kept current. As changes occur, the CRD should be updated by an amendment filing. Amendments are accomplished by filing the appropriate page(s) containing only the information in need of revision.

**Complete Filings** — File a complete Form U-4 if any of the following circumstances apply:

1. the applicant has never been registered;
2. the applicant has previously been registered but not within the last 120 calendar days;
3. the applicant has been continuously registered but has never filed a complete Form U-4 with the CRD; or
4. the applicant has been continuously registered, but has amendments to page 2 data not covered by Items 4 and 12 on page 1.

**Partial Filings** — In all other cases, file only pages 1, 3 and 4 of Form U-4.

The 120 calendar day time frame mentioned above has no bearing upon filing deadlines which are specified as part of the Temporary Agent Transfer Program (TAT). It only serves to specify the period during which a partial filing (pages 1, 3 and 4) is acceptable. Notwithstanding the applicability of the Temporary Agent Transfer Program, all individuals meeting the partial filing criteria should file only pages 1, 3 and 4. **For information regarding the TAT Program call NASD Member and Market Data Services at (301) 590-6500.**

**Amendment Filings** — Amendment filings are required to:

1. correct deficiencies in a previous filing;
2. update and keep current the information required by the form;
3. request additional registrations with jurisdictions or self-regulatory organizations; and
4. request an examination (See General Instructions Number 5).

Amendments are made by filing the appropriate page(s) of the form answering only the item(s) which are in need of revision. Each amendment page must be manually signed in accordance with the instructions found on the respective page(s).

**Supplements to Form BD:**

Page 2 of this form is required to be filed on behalf of any natural person listed on Schedule A, B or C of Form BD who does not require registration.

When filing Page 2 of this form for such an individual, the broker-dealer name must appear in the Business and Personal History section (Item 19) or in Item 20 as may apply. Signatures on those Page 2 filings are not required; however, the filing must be accompanied by an Execution Page of Form BD.

**GENERAL INSTRUCTIONS**

1. All information must be typed or neatly printed in BLACK INK.
2. All information required by Form U-4 must be submitted on the officially prescribed form, or mechanical reproduction thereof. All pages containing this information may be mechanically reproduced by any method producing clear, legible copies of identical type size.
3. All questions must be answered. Enter "none" or "N/A" ("not applicable") where this is the appropriate response. Failure to complete all required items may cause the form to be returned unprocessed or considered deficient.
4. An applicant must use all space provided on the form before using the Form U-4 Attachment Sheet. Except for copies of supporting documents, additional and/or explanatory information must be submitted on the Form U-4 Attachment Sheet. Copied documents must be clearly identified with the applicant's name and CRD # or Social Security #, as well as the item # being answered.
5. All required signatures must be original. Mechanical reproductions of signatures will not be accepted. Page 1, when it is being used only to request an exam, requires no signature.
6. An applicant is under a continuing obligation to update information required by Form U-4 as changes occur. To amend information, file the appropriate page(s) of Form U-4 bearing the updated data.
7. For purposes of this form, the term "jurisdiction" means a state, territory, the District of Columbia, the Commonwealth of Puerto Rico, a province of the Dominion of Canada or any subdivision or regulatory body thereof.

Rev. Form U-4 (11/91)

8. For purposes of this form, the terms "self-regulatory organization" or "organization" mean any national securities and commodities exchange, any national securities association (e.g., the NASD), or any registered clearing agency.
9. For purposes of this form, the term "Control" means the power to direct or cause the direction of the management or policies of a company, whether through ownership of securities, by contract, or otherwise. Any individual or firm that is a director, partner or officer exercising executive responsibility (or having similar status or functions) or that directly or indirectly has the right to vote 25 percent or more of the voting securities or is entitled to 25 percent or more of the profits is presumed to control that company.
10. For purposes of this form, "appropriate signatory" means the individual designated by the broker-dealer or futures sponsor who is authorized to execute Form U-4 on behalf of the broker-dealer or futures sponsor. Such individual must meet the criteria, if any, for acting as the "appropriate signatory" as established by the jurisdictions or self-regulatory organizations requiring this form to be filed.

**SPECIFIC INSTRUCTIONS**

Items 1-12 must be completed by employer.

**Item**

5. Specify applicant's initial date (month, day and year) of employment or association with the firm.
8. If the answer to Item 8 is "Yes", consult the rules and statutes of the appropriate self-regulatory organizations and jurisdictions for prohibitions and liability provisions. Employment with other broker-dealers must be listed in the Business and Personal History item on page 2.
9. When an applicant seeks simultaneous registration with more than one broker-dealer under common ownership or control, list the primary broker-dealer under Item 4 and affiliated firms under Item 9. If the registrations requested under Item 10 are common to all firms, the CRD will process them from this single form filing. However, if the applicant seeks registration with a different set of self-regulatory organizations and jurisdictions for the affiliates, a separate page 1 for each affiliate must accompany the application.
10. Indicate the self-regulatory organizations and jurisdictions where registration is being sought. The checking of a box in item #10 constitutes an application for registration via the CRD and will cause the applicable fee to be charged to the broker-dealer's CRD account.
11. An applicant may apply for one or more categories of registration in a filing with the CRD. If an applicant does not qualify for the category of registration requested, the required examination will be scheduled and the examination fee(s) charged to the broker-dealer's CRD account.

The "Reschedule Exam Series" box should be used to:

1. request re-examination, or
2. schedule an examination for an individual whose current exam qualifications are not accepted by a specific jurisdiction or self-regulatory organization.

12. Item 12 must be completed in all partial filings.

Items 13 through 22 must be completed by applicant.

15. Include any names by which you are or have been known other than your current legal name. This includes any nicknames, maiden names or married names by which you are now or have been known since adulthood.
20. The following information should be furnished:
  1. the full name and address of the business;
  2. the nature of the business;
  3. your title or position;
  4. a brief description of your duties;
  5. the amount of time you devote to the business; and
  6. whether it is during securities trading hours.
22. Use the Disclosure Reporting Page(s) (DRP) attached to this form for providing details to "Yes" answers.

Although documents are not required with the DRP, you may wish to include them, as CRD regulatory participants may request them as part of the approval process in their jurisdiction.

**INSTRUCTIONS FOR COMPLETION OF DISCLOSURE CERTIFICATION ITEM 220**

The certification boxes contained on Page 3, Item 220, allow you to certify that all disclosable information on your record is complete, accurate, and in DRP format. You must review a copy of your disclosure file taken from the CRD system to determine that DRPs are on file and that all details are fully provided and accurate. Use of the certification is optional, and if utilized, you must still answer the appropriate questions in Item 22A-N, and only submit DRPs for new or updated information. You may not take advantage of the certification if you have never before been registered with the NASD, or if DRPs have not been submitted for all previously disclosed information. If that is the case, answer all appropriate questions in Item 22A-N, leave Item 220 blank, and submit all details on fully completed DRPs.



FORM U-4

UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER

If there is an amendment to this page, complete only items 1, 2, 3, 4 and Items being amended.

1 LAST NAME JR./SR. etc. FIRST NAME MIDDLE NAME (SPECIFY IF NONE) 2 APPLICANT'S CRD # SOC. SEC. # 3 FIRM CRD # FIRM NFA # 4 FIRM NAME (Do not include this employment under item 19, page 2) 5 APPLICANT'S NFA # 6 EMPLOYMENT DATE 6 FIRM MAIN ADDRESS STREET CITY STATE ZIP 7 BRANCH I.D. # OFFICE OF EMPLOYMENT ADDRESS STREET CITY STATE ZIP

8 Will applicant maintain registration with another Broker-Dealer not under common ownership or control with the firm named in Item 4 above? (If "Yes", list in item 19) If "Yes", has/have the firm(s) been contacted? Yes No

9 Will applicant maintain multiple registrations with Broker-Dealers under common ownership or control with the firm named in Item 4 above? If "Yes", fill in information below: Firm CRD # Name of Firm Firm CRD # Name of Firm Firm CRD # Name of Firm

10 TO BE REGISTERED WITH THE FOLLOWING: SRO JURISDICTION ASE BSE CBOE CSE MSE NASD NFA NYSE PHLX PSE OTHER (Specify) AK AL AR AZ CA CO CT DC DE FL GA HI IA ID IL IN KS KY LA MA MD ME MI MN MO MS MT NC ND NE NH NJ NM NV NY OH OK OR PA RI SC SD TN TX UT VA VT WA WI WV WY PR All Jurisdictions. (Check In Lieu Of Each Individual Box).

11 TYPE OF EXAMINATION/REGISTRATION REQUESTED (check all applicable categories) S-3 Commodity Futures Examination S-4 (OP) Registered Options Principal S-5 Interest Rate Options Examination S-6 (IR) Investment Company and Variable Contracts Products Representative S-7 (GS) Full Registration/General Securities Representative S-7 (TR) Securities Trader (NYSE) S-7 (TS) Trading Supervisor (NYSE) S-8 (SU) General Securities Sales Supervisor S-8 (BM) Branch Office Manager (NYSE) S-11 (AR) Assistant Representative/Order Processing S-15 (FC) Foreign Currency Options S-16 (SA) Supervisory Analyst S-22 (DR) Direct Participation Program Representative S-24 (GP) General Securities Principal S-26 (IP) Investment Company and Variable Contracts Products Principal S-27 (FN) Financial and Operations Principal S-28 (FI) Introducing Broker-Dealer/Financial and Operations Principal S-39 (DP) Direct Participation Program Principal S-42 (OR) Options Representative S-52 (MR) Municipal Securities Representative S-53 (MP) Municipal Securities Principal S-62 (CS) Corporate Securities Representative S-63 Uniform Securities Agent State Law Examination S-65 Uniform Investment Advisor Law Examination (AG) Agent (RG) Government Securities Representative (PG) Government Securities Principal (ME) Member Exchange (NYSE) (LE) Securities Lending Representative (NYSE) (LS) Securities Lending Supervisor (NYSE) (AM) Allied Member (NYSE) (AP) Approved Person (NYSE) (AI) Agent of the Issuer Reschedule Exam Series Other

THIS PORTION MUST BE COMPLETED FOR ALL PARTIAL (TRANSFER OR RE-REGISTRATION) FILINGS

12 APPLICANT'S CURRENT ADDRESS: STREET CITY STATE ZIP FROM MONTH YEAR FIRM(S) APPLICANT IS TRANSFERRING FROM: TERMINATION DATE: (Mo/Day/Yr.) CHECK IF THIS U-4 IS BEING FILED TO MAKE PERMANENT A TEMPORARY REGISTRATION (TAT).

The appropriate signatory area DOES NOT have to be completed UNLESS this page is being submitted as an amendment. MONTH DAY YEAR SIGNATURE OF APPROPRIATE SIGNATORY TYPE OR PRINT NAME OF APPROPRIATE SIGNATORY CRD USE ONLY



**FORM U-4**  
**UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER**  
*If there is an amendment to this page, complete only Items 13, 14 and the Items being amended.*

13 FIRM CRD #  FIRM NFA #	SOCIAL SECURITY #	APPLICANT'S CRD #  APPLICANT'S NFA #
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**PERSONAL DATA**

14 LAST NAME	JR./SR., etc.	FIRST NAME	MIDDLE NAME	15 OTHER NAMES KNOWN BY
16 DATE OF BIRTH (Month, Day, Year)	17 SEX	HEIGHT	WEIGHT	HAIR COLOR
				EYE COLOR

**RESIDENTIAL HISTORY**

18 GIVE ALL ADDRESSES FOR THE PAST FIVE YEARS, STARTING WITH CURRENT ADDRESS.

STREET	CITY	STATE	ZIP	FROM		TO	
				MONTH	YEAR	MONTH	YEAR
							PRESENT

**EMPLOYMENT AND PERSONAL HISTORY**

19 ACCOUNT FOR ALL TIME FOR THE PAST TEN YEARS. Give all employment experience starting with your previous employer and working back ten years. Include full and part-time work, self-employment, military service, unemployment and full-time education. (If this page is being filed as part of a Form BD, start with your present employer instead.)

NAME	CITY	STATE	FROM		TO		POSITION HELD
			MONTH	YEAR	MONTH	YEAR	

20 Are you currently engaged in any other business (not shown above) either as a proprietor, partner, officer, director, trustee, employee, agent or otherwise?  
 YES  NO If "YES", please explain below:

The appropriate signatory area **DOES NOT** have to be completed **UNLESS** this page is being submitted as an amendment.

MONTH DAY YEAR SIGNATURE OF APPROPRIATE SIGNATORY  TYPE OR PRINT NAME OF APPROPRIATE SIGNATORY	CRD USE ONLY
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FORM U-4

UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER

If there is an amendment to this page, complete only item 21 and items being amended

(21) FIRM CRD #	FIRM NFA #	SOCIAL SECURITY #	APPLICANT'S CRD #	APPLICANT'S NFA #
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IF THE ANSWER TO ANY OF THE FOLLOWING QUESTIONS IS "YES" AND YOU CANNOT UTILIZE THE CERTIFICATION IN ITEM 220 BELOW, ATTACH COMPLETE DETAILS OF ALL EVENTS OR PROCEEDINGS ON DRP(S)

**22 DEFINITIONS**

- Charged** — Accused of a crime in a formal complaint, information, or indictment.
- Investment or Investment-Related** — Pertaining to securities, commodities, banking, insurance, or real estate including, but not limited to acting as or being associated with a broker-dealer, investment company, investment adviser, futures sponsor, bank, or savings and loan association.
- Involved** — Doing an act or aiding, abetting, counseling, commanding, inducing, conspiring with or failing reasonably to supervise another in doing an act.
- Foreign Financial Regulatory Authority** — includes (A) a foreign securities authority; (B) other governmental body or foreign equivalent of a self-regulatory organization empowered by a foreign government to administer or enforce its laws relating to the regulation of investment or investment-related activities; or (C) membership organization, a function of which is to regulate the participation of its members in the activities listed above.

	YES	NO	
22A. Have you been convicted of or plead guilty or nolo contendere ("no contest") in a domestic or foreign court to:			
(1) a felony or misdemeanor involving: investments or an investment-related business, fraud, false statements or omissions, wrongful taking of property, or bribery, forgery, counterfeiting or extortion?	<input type="checkbox"/>	<input type="checkbox"/>	1
(2) gambling?	<input type="checkbox"/>	<input type="checkbox"/>	2
(3) any other felony?	<input type="checkbox"/>	<input type="checkbox"/>	3
B. Have you, or an organization over which you exercised management or policy control, ever been charged with any felony or charged with a misdemeanor specified in question A(1) or (2) in a domestic or foreign court?	<input type="checkbox"/>	<input type="checkbox"/>	4
C. Has any domestic or foreign court ever:			
(1) enjoined you in connection with any investment-related activity?	<input type="checkbox"/>	<input type="checkbox"/>	5
(2) found that you were involved in a violation of investment-related statutes or regulations?	<input type="checkbox"/>	<input type="checkbox"/>	6
D. Has the U.S. Securities and Exchange Commission or the Commodity Futures Trading Commission ever:			
(1) found you to have made a false statement or omission?	<input type="checkbox"/>	<input type="checkbox"/>	7
(2) found you to have been involved in a violation of investment-related regulations or statutes?	<input type="checkbox"/>	<input type="checkbox"/>	8
(3) found you to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted?	<input type="checkbox"/>	<input type="checkbox"/>	9
(4) entered an order denying, suspending or revoking your registration or disciplined you by restricting your activities?	<input type="checkbox"/>	<input type="checkbox"/>	10
(5) imposed a civil money penalty on you, or ordered you to cease and desist from any activity?	<input type="checkbox"/>	<input type="checkbox"/>	10A
E. Has any other Federal regulatory agency or any state regulatory agency or foreign financial regulatory authority ever:			
(1) found you to have made a false statement or omission or been dishonest, unfair or unethical?	<input type="checkbox"/>	<input type="checkbox"/>	11
(2) found you to have been involved in a violation of investment regulations or statutes?	<input type="checkbox"/>	<input type="checkbox"/>	12
(3) found you to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted?	<input type="checkbox"/>	<input type="checkbox"/>	13
(4) entered an order against you in connection with investment-related activity?	<input type="checkbox"/>	<input type="checkbox"/>	14
(5) denied, suspended, or revoked your registration or license or otherwise prevented you from associating with an investment-related business, or disciplined you by restricting your activities?	<input type="checkbox"/>	<input type="checkbox"/>	15
(6) revoked or suspended your license as an attorney, accountant or federal contractor?	<input type="checkbox"/>	<input type="checkbox"/>	16
F. Has any self-regulatory organization or commodities exchange:			
(1) found you to have made a false statement or omission?	<input type="checkbox"/>	<input type="checkbox"/>	17
(2) found you to have been involved in a violation of its rules?	<input type="checkbox"/>	<input type="checkbox"/>	18
(3) found you to have been the cause of an investment-related business having its authorization to do business denied, suspended, revoked or restricted?	<input type="checkbox"/>	<input type="checkbox"/>	19
(4) disciplined you by expelling or suspending you from membership, barring or suspending your association with its members, or restricting your activities?	<input type="checkbox"/>	<input type="checkbox"/>	20
G. Has any foreign government ever entered an order against you related to investments or fraud, other than as reported in Items 22A, B, C or E?	<input type="checkbox"/>	<input type="checkbox"/>	21
H. Have you ever been the subject of an investment-related, consumer-initiated complaint or proceeding that:			
(1) alleged compensatory damages of \$10,000 or more, fraud, or wrongful taking of property?	<input type="checkbox"/>	<input type="checkbox"/>	22
(2) was settled or decided against you for \$5,000 or more, or found fraud or the wrongful taking of property?	<input type="checkbox"/>	<input type="checkbox"/>	23
I. Are you now the subject of any complaint, investigation, or proceeding that could result in a "yes" answer to parts A-H of this item?	<input type="checkbox"/>	<input type="checkbox"/>	24
J. Has a bonding company denied, paid out on, or revoked a bond for you?	<input type="checkbox"/>	<input type="checkbox"/>	25
K. Do you have any unsatisfied judgments or liens against you?	<input type="checkbox"/>	<input type="checkbox"/>	26
L. Have you or a firm that you exercised management or policy control over, or owned 10% or more of the securities of, failed in business, made a compromise with creditors, filed a bankruptcy petition or been declared bankrupt?	<input type="checkbox"/>	<input type="checkbox"/>	27
M. Has a broker or dealer firm that you exercised management or policy control over, or owned 10% or more of the securities of, been declared bankrupt, had a trustee appointed under the Securities Investor Protection Act, or had a direct payment procedure initiated?	<input type="checkbox"/>	<input type="checkbox"/>	28
N. Have you been discharged or permitted to resign because you were accused of:			
(1) violating investment-related statutes, regulations, rules, or industry standards of conduct?	<input type="checkbox"/>	<input type="checkbox"/>	29
(2) fraud or the wrongful taking of property?	<input type="checkbox"/>	<input type="checkbox"/>	30
(3) failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct?	<input type="checkbox"/>	<input type="checkbox"/>	31

**DISCLOSURE CERTIFICATION (OPTIONAL)**

You may only certify to the accuracy and completeness of the disclosure information in your file if it has been fully provided in DRP format. If DRP(s) are not on file, do not answer these certification boxes. Provide full details of all matters on DRP(s). All appropriate questions in item 22 must be answered, regardless of whether the certification is being utilized. Refer to the instructions on the inside cover of the Form U-4 for additional information on the utilization of the certification language.

O. I have reviewed a copy of my disclosure file taken from the CRD system. I acknowledge that all information contained therein is fully disclosed, accurate and in DRP format. I further certify the following:	
1. I have no new information to add to my disclosure file.	1. <input type="checkbox"/> 32
2. I have new information to add to my disclosure file which is reported on the attached DRP(s).	2. <input type="checkbox"/> 33
3. I have updated information, reported on the attached DRP(s), which was previously reported and contained in Occurrence	3. <input type="checkbox"/> 34

The applicant and appropriate signatory area DOES NOT have to be completed UNLESS this page is being submitted as an amendment.

MONTH DAY YEAR SIGNATURE OF APPLICANT	
TYPE OR PRINT NAME OF APPLICANT:	
MONTH DAY YEAR SIGNATURE OF APPROPRIATE SIGNATORY	
TYPE OR PRINT NAME OF APPROPRIATE SIGNATORY:	

CRD USE ONLY



**FORM U-4**  
**UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER**  
*If there is an amendment to this page, complete only Item 23 and items being amended.*

23 FIRM CRD #	SOCIAL SECURITY #	APPLICANT'S CRD #
FIRM NFA #		APPLICANT'S NFA #

**THE APPLICANT MUST READ THE FOLLOWING VERY CAREFULLY**

1. I swear or affirm that I have read and understand the items and instructions on this form and that my answers (including attachments) are true and complete to the best of my knowledge. I understand that I am subject to administrative, civil or criminal penalties if I give false or misleading answers.
2. I apply for registration with the jurisdictions and organizations indicated in Item 10 as may be amended from time to time and, in consideration of the jurisdictions and organizations receiving and considering my application, I submit to the authority of the jurisdictions and organizations and agree to comply with all provisions, conditions and covenants of the statutes, constitutions, certificates of incorporation, by-laws and rules and regulations of the jurisdictions and organizations as they are or may be adopted, or amended from time to time. I further agree to be subject to and comply with all requirements, rulings, orders, directives and decisions of, and penalties, prohibitions and limitations imposed by the jurisdictions and organizations, subject to right of appeal or review as provided by law.
3. I agree that neither the jurisdictions or organizations nor any person acting on their behalf shall be liable to me for action taken or omitted to be taken in official capacity or in the scope of employment, except as otherwise provided in the statutes, constitutions, certificates of incorporation, by-laws or the rules and regulations of the jurisdictions and organizations.
4. I authorize the jurisdictions and organizations to give any information they may have concerning me to any employer or prospective employer, any federal, state or municipal agency, or any other organization and I release the jurisdictions and organizations and any person acting on their behalf from any and all liability of whatever nature by reason of furnishing such information.
5. I agree to arbitrate any dispute, claim or controversy that may arise between me and my firm, or a customer, or any other person, that is required to be arbitrated under the rules, constitutions, or by-laws of the organizations indicated in Item 10 as may be amended from time to time and that any arbitration award rendered against me may be entered as a judgement in any court of competent jurisdiction.
6. For the purpose of complying with the laws relating to the offer or sale of securities or commodities in the jurisdictions indicated in Item 10 as may be amended from time to time, I irrevocably appoint the administrator of each of those jurisdictions, or such other person designated by law, and the successors in such office, my attorney upon whom may be served any notice, process or pleading in any action or proceeding against me arising out of or in connection with the offer or sale of securities or commodities, or out of the violation or alleged violation of the laws of the jurisdictions. I consent that any such action or proceeding against me may be commenced in any court of competent jurisdiction and proper venue by service of process upon the appointee as if I were a resident of, and had been lawfully served with process in, the jurisdiction. I request that a copy of any notice, process or pleading served hereunder be mailed to my current residential address as reflected in this form or any amendment thereto.
7. I consent that notice of any investigation or proceeding by any self-regulatory organization against applicant may be given by personal service or by regular, registered or certified mail or confirmed telegram to applicant at his/her most recent business or home address as reflected in this Form U-4, or any amendment thereto, or by leaving notice of the investigation or proceeding at such address.
8. I authorize all of my employers and any other person to furnish to any jurisdiction or organization or any agent acting on its behalf, any information they have, including my creditworthiness, character, ability, business activities, educational background, general reputation, history of my employment and, in the case of former employers, complete reasons for my termination. Moreover, I release each employer, former employer and each other person from any and all liability, of whatever nature, by reason of furnishing any of the above information, including that information reported on the Uniform Termination Notice for Securities Industry Registration (Form U-5). I recognize that I may be the subject of an investigative consumer report ordered by the jurisdiction, or organizations with which this application is being filed, and waive any requirement of notification with respect to any investigative consumer report ordered by any such jurisdiction or organization. I understand that I have the right to request complete and accurate disclosure by the jurisdiction or organization of the nature and scope of the requested investigative consumer report.
9. I understand and certify that the representations in this form apply to all employers with whom I seek registration as indicated in Items 4 and 9 of this form. I agree to update this form by causing an amendment to be filed on a timely basis whenever changes occur to answers previously reported. Further, I represent that, to the extent any information previously submitted is not amended, the information provided in this form is currently accurate and complete.
10. If I have become temporarily registered as an agent, I acknowledge that this application for registration with the jurisdictions and organizations indicated in Item 10 is separate and distinct from any temporary registration already obtained with the jurisdictions and organizations. I further understand that my registration may be denied, suspended or revoked under the laws, regulations or rules of the jurisdictions and organizations.

Month          Day          Year

\_\_\_\_\_  
SIGNATURE OF APPLICANT

\_\_\_\_\_  
TYPE OR PRINT NAME OF APPLICANT

**THE FIRM MUST COMPLETE THE FOLLOWING**

To the best of my knowledge and belief, the applicant is currently bonded where required, and, at the time of approval, will be familiar with the statute(s), constitution(s), rules and by-laws of the agency, jurisdiction or self-regulatory organization with which this application is being filed, and the rules governing registered persons, and will be fully qualified for the position for which application is being made herein. I agree that, notwithstanding the approval of such agency, jurisdiction or organization which hereby is requested, I will not employ the applicant in the capacity stated herein without first receiving the approval of any authority which may be required by law. This firm has communicated with all of the applicant's previous employers for the past three years.

EMPLOYER	NAME OF PERSON CONTACTED	POSITION OF PERSON CONTACTED	EMPLOYED		HOW CONTACTED		
			FROM	TO	PHONE	LETTER	INTERVIEW

IN ADDITION, I HAVE TAKEN APPROPRIATE STEPS TO VERIFY THE ACCURACY AND COMPLETENESS OF THE INFORMATION CONTAINED IN AND WITH THIS APPLICATION.

THE APPROPRIATE SIGNATORY AREA *MUST BE* COMPLETED ON ALL INITIAL, TRANSFER OR AMENDMENT FILINGS.

CRD USE ONLY

MONTH    DAY    YEAR

\_\_\_\_\_  
SIGNATURE OF APPROPRIATE SIGNATORY

\_\_\_\_\_  
TYPE OR PRINT NAME OF APPROPRIATE SIGNATORY



FORM U-4
UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER
DISCLOSURE REPORTING PAGE (DRP)

Form header with fields: LAST NAME, JR./SR., etc., FIRST NAME, MIDDLE NAME (Specify if none), CRD #, NFA #, SOCIAL SECURITY #, FIRM CRD #

INSTRUCTIONS

This Disclosure Reporting Page (DRP) is to be used to report details of affirmative responses to Item 22 questions.

- Use a separate DRP for each event or proceeding. Complete Items 1-8 below. (Item 9 is optional.)
One event may result in more than one "yes" answer in Item 22; if so, use only one DRP to report this information.
The information provided on this DRP will be entered into the CRD system verbatim. It is very important that clear and concise information be provided for each item on this form.
It is not a requirement that documents be provided for each event or proceeding. Should they be provided with the DRP, they will not be accepted as disclosure in lieu of answering the questions on this form.

1. This DRP relates to the following questions in Item 22:

- Grid of checkboxes for Item 22 questions: 22A (1-3), 22B, 22C (1-2), 22D (1-5), 22E (1-5), 22F (1-6), 22G, 22H (1-2), 22I, 22J, 22K, 22L, 22M, 22N (1-3)

2. Is this DRP being filed to change or update any information regarding a previously reported event or proceeding? YES NO
Complete Items 1-8, and if yes, also circle the items below which are being changed.

3. Who initiated this event or proceeding? (Enter name of firm, regulator, court, customer, etc.)

4. What type of event or proceeding was this? (i.e., Customer Complaint, Termination, Civil, Administrative, Criminal, Arbitration)

5. On what date was the event or proceeding initiated?

6. Identify the docket or case number of the event or proceeding (if any).

7. What were the allegations against you? (Include amounts of actual or alleged damages or claims.)

8. a. What is the current status of the event or proceeding?

b. On what date was this status reached?

c. What was the result? (Include felony/misdemeanor, a description of the penalties, amount of fine, payment or settlement; terms of the disposition, length of suspension or restriction, etc.)

9. You may provide a brief summary of this event or proceeding. (Your information must fit within the space provided.)

MONTH

DAY

YEAR

SIGNATURE OF APPLICANT



**FORM U-4**  
**UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER**  
**ATTACHMENT SHEET FOR ITEMS 18, 19 & 20.**

LAST NAME	JR./SR., etc.	FIRST NAME	MIDDLE NAME (Specify if none)
CRD #	NFA #	SOCIAL SECURITY #	FIRM CRD #

*Use this Attachment Sheet to report continued information from items 18, 19 and 20 of Form U-4.  
(For item 22 use the Disclosure Reporting Page (DRP).)*

ITEM OF FORM (IDENTITY)	ANSWER

_____ MONTH                  DAY                  YEAR	_____ SIGNATURE OF APPLICANT
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Rev. Form U-4 (11/91)

**ATTACHMENT SHEET**